

LOUISIANA'S ORIGINAL HERO PROGRAM APPLICANT GUIDELINES



HERO

Home Energy Rebate Option

***Existing Home Residential
Energy Efficiency Program***

Louisiana Department of Natural Resources

State Energy Office
Administering the HERO Program
Since 1999

Baton Rouge Phone
#225-342-1399
Statewide Toll Free
#800-836-9589

dnr.louisiana.gov

Last Revision
10/1/2011

HERO Program Background and History....

In 1998 the Technology Assessment Division within the Louisiana Department of Natural Resources became one of the first of four nationally accredited Rating Providers under the then newly formed national accreditation organization named “Energy Rated Homes of America” (ERHA). In 1998 DNR began training Home Energy Raters throughout the state of Louisiana until at its peak in 2002 had as many as 70 Home Energy Raters certified to conduct Home Energy Ratings throughout Louisiana. When the Home Energy Rebate Option (HERO) began in 1999, statewide participation was low but steadily increased until peak participation occurred in 2002 when over 3,400 new and existing homeowners participated in the program. In 2006, due to several changes within the Home Energy Rating Industry throughout the state as well as throughout the nation, events led to the HERO Program discontinued new home participation under the program. Statewide changes such as the implementation of the International Residential Code increased the base line energy efficiency for all new homes being constructed on a scale that could not be matched under HERO. The increased requirements within the Energy Star Program, and the reorganization of the now defunct ERHA into the “Residential Energy Services Network” (RESNET) in late 2006, spawned uncertainty about the increased costs of conducting business for many Home Energy Raters ultimately leading to a decline in the amount of Home Energy Ratings being undertaken. It is well documented that by increasing the energy efficiency of a poor performing pre-existing home by a minimum of 30% will far outweigh the same incremental costs applied to a new home in the way of saved utility dollars, therefore existing homes have remained eligible under the HERO Program throughout its existence.

In 2009 the American Recovery and Reconstruction Act ARRA allocated funding to all 50 United States in an effort to encourage “Green” jobs. Louisiana allocated a portion of its ARRA funding to the HERO Program. The ARRA funding allowed the HERO Program to expand its scope. The program, called the “Empower Louisiana HERO Program” re-implemented a New Homes program and added a Commercial component, which had never before been deployed in Louisiana, to the already in place Existing Home program. Both the Original HERO Program and the ARRA funded HERO Program reward participants for increasing energy efficiency however they base the rebate amount on a separate set of criteria. The ARRA funded program bases the rebate purely on energy savings, where the Original program bases the rebate on the lesser of either the energy savings attributed to the improvements, or the cost of improvements. As of the date of this publication, over 20,000 homes have been made more energy efficient throughout Louisiana by participating in the HERO Program.

HERO Program Overview....

The Original *HERO-Existing Homes Program* encourages energy efficiency by providing a cash incentive to Louisiana residents who improve the energy efficiency of their existing home by a minimum of 30%. Existing Homes that reduce their energy use by 30% or more are awarded a cash rebate incentive of up to \$2,000. The cash rebate incentive is based on two factors, either the Cost of Energy Savings determined by comparing the pre-improved home to the post-improved home over the useful life of the added improvements as determined by a HERS rating, these saved utility costs are called the Energy Efficiency Premium (*EEP*), or the Cost of the Energy Efficiency Improvements. The cash rebate is 20% of the lesser of the two amounts up to a maximum rebate of \$2,000.

HERO Certified Energy Rater....

The required program energy ratings must be performed by a HERO-Certified Energy Rater (*Energy Rater*). The term *Energy Rater* in this document *always* refers to a HERO-Certified Energy Rater. A list of HERO-Certified Energy Raters is available on the program website at: (<http://www.dnr.louisiana.gov>) or by contacting the HERO program hotline at: 1-800-836-9589

Eligible Funding Levels....

Only existing home projects that achieve a 30% reduction in energy use are eligible for up to a maximum \$2,000 rebate.

HERO Program rebates are taxable and *Participants* will receive a 1099-MISC, *Miscellaneous Income* Form from the State of Louisiana for the year in which the rebate is received.

HERO Program Participants must comply with all program requirements.

Rating and Energy Performance Standards....

A preliminary rating of the existing home, as it is before improvements have been made to the home, *must* be submitted to the Louisiana Department of Natural Resources by the *Energy Rater*. The preliminary rating is necessary to be used as a bench mark in order to determine if the improved home has increased its energy efficiency by the required amount. Existing Homes that do not meet this requirement are disqualified from participation in the HERO Program.

An existing home qualifies for the HERO Program rebate by reducing its energy use by 30% (as determined by the rating process) compared to the home as it was before the energy improvements were made. When the improvements are completed, a final rating will be performed to confirm the energy reduction meets at least the minimum standard. Only the improvements made to an existing home after the preliminary rating was conducted can apply towards the rebate calculation of the improved final home.

Qualifying Procedures for becoming a Louisiana Home Energy Rater Certified under the HERO Program....

Beneficial Background Qualifications...(helpful but not necessary)

Four (4) years minimum experience in one or more of the following fields:

Residential Framing Contractor, Residential Heating and Air Conditioning Contractor, Residential General Contractor, Residential Home Inspector, Commercial Building Inspector, or a Bachelor of Science degree in Construction, Construction Engineering, Construction Technology, Mechanical Engineering, Civil Engineering, or a Bachelor of Architecture

Certification Requirements

- Only residents of the state of Louisiana are eligible for Certification as a home energy rater under the Louisiana HERO Program
- Only independent, private sector business people are eligible for Certification as a home energy rater under the Louisiana HERO Program...individual may not be employed by or accept compensation from any rating company or rating organization
- If a HERO Certified *Energy Rater* receives payment for the energy rating service they provide for a participant in the HERO Program, the HERO Certified *Energy Rater* must always be paid any compensation directly by the participant and MUST not be paid for their rating service through any third party that is or is not providing any other service for the participant

Minimum Training

- Home Energy Rater Training under a RESNET Accredited HERS Training Provider which covers a minimum curriculum of:
 1. Energy Efficiency Design for Residential Structures
 2. Training in the use of the equipment used to conduct energy ratings
 3. Training in the use of a HERS Accredited rating software
 4. Hands on field work conducting two training provider observed home energy ratings
 5. Score a minimum of 80% on the National RESNET Standard Rater Exam
 6. Conduct (3) supervised RESNET training ratings

Minimum Qualifying Ratings for HERO

- Conduct a minimum of three (3) home energy ratings on three (3) separate homes, at no charge, and submit the rating information to the Louisiana Department of Natural Resources for review, and critique. Submitted documentation must include:
 1. HERO information
 2. Software building files
 3. Site diagrams
 4. Digital site photos
- Conduct one (1) additional home energy rating on a separate home, at no charge, accompanied by a representative from the Louisiana Department of Natural Resources' Energy Section or their designee (RESNET Accredited Training Provider). The rating information from this 4th home energy rating must also include items 1-4 above and be submitted to the Louisiana Department of Natural Resources for review.
- Upon completion of these 4 HERO training ratings DNR will determine if the candidate has grasped enough understanding of the HERO documentation submittal procedures to merit certification or if additional training ratings will be necessary
- Score a minimum of 80% on the DNR administered HERO Certification Test

Minimum Equipment Purchase

(Do not purchase this equipment until after you have completed the minimum training and rating requirements listed above and are ready to be fully certified under the HERO Program)

- You must own, and provide receipts, serial numbers, certifications and verified sub-license agreements to the Louisiana Department of Natural Resources for a minimum of the items and equipment listed below with *:

Estimated costs

1. Home Energy Rater Training	\$ 1,500.00
2. National RESNET Standard Rater Exam Test Results *	n/a*
3. Certificate of RESNET Certification*	n/a*
4. Blower Door*	\$ 2,500.00*
5. Duct Blaster*	\$ 1,000.00*
6. Digital Pressure Gauge*	\$ 700.00*
7. Light Transmittance Meter*	\$ 135.00*
8. Pressure Pan (small)*	\$ 50.00*
9. 3meg desk top or lap top computer	\$ 2,000.00
10. Internet Service (per/year)	\$ 240.00
11. Scanner	\$ 100.00
12. Proof of partnership/agreement with an Accredited DNR approved RESNET Rating Provider*	
13. REMRate software w/verified sub-license agreement (per/year)* [@]	\$ 200.00* [@]
14. Microsoft Word	\$ 100.00
15. Microsoft Excel	\$ 100.00
16. Adobe	\$ 100.00
17. Digital Camera	\$ 100.00
	\$ 8,825.00

([@] is n/a if provided by Rating Provider)

Important Information for the Homeowner (Applicant)....

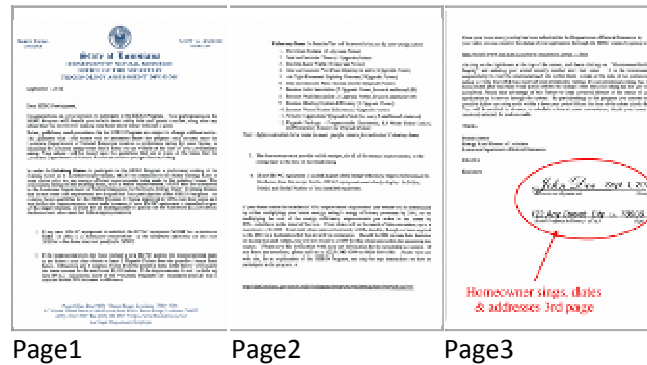
- The homeowner must keep a copy of the receipts for the improvement work performed on the home under the HERO Program. Only the receipts for the items that are listed on the final Form 1119 can be counted toward the costs of improvements in the final rating:
ONLY the items listed below can track costs associated with a HERO Program rating
 1. Insulation
 2. Windows & Doors
 3. Whole House Infiltration
 4. Water Heater (*Conventional Gas or Gas/ Electric Tank-less*)
 5. Duct Leakage
 6. Heat Pump
 7. Conventional AC
 8. Furnace (*Gas*)
 9. Combined AC & Furnace Unit
 (See "Sample HERO Program Forms" at: dnr.louisiana.gov/hero/forms)
- Only the items that show up on the Form 1119 will be used in the rebate calculation. All submitted receipts MUST be dated on or after the date of the preliminary rating, and clearly identifiable to both the rated property address and the homeowner.
- The *homeowner* must provide copies of the receipts to the *Energy Rater* at the time of the final rating and be able to produce them, if needed, at any point up to three years from the date of the final rating. Every receipt must show the vendors letterhead (*no generics*) with the vendors name and phone number. The receipts must be completely legible...hand written receipts will not be accepted or applied toward the costs of the improvements.

Receipts for mechanical equipment MUST show Make, Model #, and Serial # for every piece of equipment claimed as an energy efficiency improvement measure that is applied toward the improvement costs.

- Only the labor charges provided by an authorized installer for the vendor of the equipment being installed can be counted as qualified costs associated with the improved home rebate calculation...the homeowner can not add labor charges for equipment that he/she installs nor can labor charges that are paid to a “handy man/woman” be counted, as these type labor costs can not be verified.
- No one, other than a Certified Home *Energy Rater*, or a HERO Associate can discuss recommendations for improvements under the HERO Program with the homeowner.
- An *Energy Rater* can not recommend any single vendor for work to be performed. If the home owner ask for suggested vendors, the *Energy Rater* MUST provide a minimum of three choices to the home owner instead of a single particular vendor (*3 choices or no choices – unless only 1 vendor is available*).
- The *Energy Rater* must review with the homeowner, upon the initial visit, the copy of the HERO Participant Letter, (*below*) which lets the homeowner know that their home could be audited at any point over the next three years as a quality control check. The letter also explains how the homeowner can access their rating information on DNR’s web site, as well as tax information about the rebate.
- The *homeowner* must fully understand that the preliminary rating is only valid for six (6) months and if the work on the property is not completed within the six month period, the rebate for the property will no longer be guaranteed (*see p. 10 bullets 3-6*).
- The *Energy Rater* MUST NEVER use “Fuel Switching” in the REMRate software building files (*Fuel Switching = using a less efficient fueled appliance in the preliminary rating than is actually present in the pre-improved home in order to artificially inflate the energy savings in the improved home*)
- The *Energy Rater* can present options to the homeowner, but should never overrule the mechanical equipment sizing proposed by the mechanical equipment contractor for a property
- The *Energy Rater* must never use “Equivalent R-Values” for any insulating material... the *Energy Rater* must always use the R-Value per inch of any insulating material

HERO Participant Letter (*Tax Letter*)....

- The Participant Letter (*See Tax Letter below*) must be presented to all participating applicants upon the *Energy Rater*’s initial visit
- The letter consist of 3 pages
- The homeowner must sign, date, and address the 3rd page of 2 separate copies of the Tax Letter
- The homeowner keeps 1 complete copy for themselves, and the *Energy Rater* must keep 1 complete copy for their records.



WHO IS ELIGIBLE FOR A HERO REBATE?....

(DNR will only issue a rebate check to an eligible applicant)

- A rebate can only go to the property owner at the time of both the preliminary & final ratings. The rating documentation is non transferable from the preliminary rating to the final rating
- **ONLY** residents of Louisiana can receive a HERO Rebate (*must reside in the state of Louisiana*)
- **ONLY EXISTING SINGLE**, and **EXISTING TWO FAMILY (duplex)** residences located within the state of Louisiana can receive a HERO Rebate
- A rated property can only go through the HERO Program one time (*no repeats of a rated property address*)
- Owners of Existing Homes can receive a HERO Rebate on a maximum of 4 different existing properties (*as long as the property participating is owned by the rebate recipient at the time of both the preliminary and final ratings. Four (4) time participation combines the participation under the Original and the Empower HERO Programs and limits participation to a maximum of four properties*)
- Existing home applicants must be an individual and can only apply for the program under their personal name and Social Security Number (**NO LLC., CORP., INC., BUSINESS, or PARTNERSHIP**)
- Both sides of an existing duplex can only go through the HERO Program if they are done at the same time (*new duplexes are disallowed under the HERO Program*)

Eligible Projects....

- Eligible projects are projects with preliminaries conducted on or after September 1, 2011 and must be physically located within the State of Louisiana. The *Program* applies to existing residential buildings of two (2) dwelling units or less. Each residence must be metered separately.

B. Blighted or Burned Property

If a blower door test is not possible on an existing home, such as a blighted or burned existing home, the blighted or burned home must be entered as the “As Is” preliminary rating into the REMRate software using the following defaults:

- Duct Leakage.....(House Ft² / 500) X 200
 - Whole House Leakage.....(House Volume X 1.5 X 21.5 X S) / 60
S = Stories
 - 1 story.....S=1
 - 1.5 stories...S=.9
 - 2 stories.....S=.8
 - 3 stories.....S=.7
 - Insulation.....Attic=R19, Walls=R5, Ducts=R5
 - Windows, Sky Lights, Doors.....SHGC=0.8, R=1.3
 - Mechanical Equipment...Cooling=SEER 9.4, Gas Heating=68AFUE, Gas Water Heater=0.56 EF (If the final home is planned to have window units (wu), use wu's in the base with zero duct leakage)
- In order to qualify for the rebate, the final home must be improved by a minimum of 30% above the defaulted preliminary rated property that uses the above defaults. Additionally the improved home must have a final score of 90 or below.
- If a blighted or burned property is submitted under the HERO Program the *Energy Rater* must state that the property is “Blighted” or “Burned” in the notes section of both the preliminary and final coversheets.

C. Existing Homes with Solar Electric Systems (PV)....

Existing homes that have an installed solar electric system (PV) at the time of the preliminary rating must include the (PV) in both the preliminary “As Is” home before improvements as well as in the final improved home ratings. Existing homes that install (PV) as part of the improvements made to the home MUST not include the (PV) toward the 30% increase in efficiency required for the final but will include the (PV) toward the Energy Efficiency Premium calculation. The costs of the (PV) system cannot be applied toward the costs of the improvements for the rebate calculation.

- The property MUST be able to show the 30% required improvement without the (PV)
- If a property is submitted under the HERO Program that has “PV” on the pre-improved home the *Energy Rater* must state that “The property contained PV in the pre-improved property” in the notes section of both the preliminary and final coversheets.
- If a property has “PV” installed as part of the improvements made to the home the *Energy Rater* must state that “The property has had PV installed as part of the improvements made to the property” in the notes section of the final coversheet.

D. Existing Homes with Solar Collector Systems (*Water Heaters*)....

Existing homes that install a solar water heating system as part of the improvement measures will treat the solar collector just as any other water heater upgrade in the software and will include the solar collector toward the 30% increase in efficiency required by the final as well as in the Energy Efficiency Premium calculation. However, the costs of the solar collector system cannot be applied toward the costs of the improvements for the rebate calculation.

NOTE: If a property has a “*Solar Collector*” installed as part of the improvements made to the home the *Energy Rater* must state that “The property has had a “*Solar Collector*” installed as part of the improvements made to the property” in the notes section of the final coversheet.

Ineligible Activities....

In order to ensure that proposed projects result in the greatest amount of energy savings, and therefore the greatest benefit possible to the State, *the following activities are NOT eligible for funding under these guidelines:*

- (a) Buildings of over two (2) dwelling units.
- (b) Non-residential, mixed occupancy buildings, and mobile homes.
- (c) Portions of a residence. The entire residence must be included in the rating.
- (d) Buying or leased property.
- (e) Projects that were not rated in accordance with these guidelines prior to the installation of the improvements.
- (f) Only one rebate is available per dwelling unit. Projects are tracked by address. Addresses that have received a HERO rebate in the past are not eligible.
- (g) Projects that have received assistance through the State of Louisiana Home Energy Loan Program (HELP) program are not eligible.
- (h) Projects that include a new central air conditioning system of a lesser efficiency than SEER 14
- (i) Residential buildings that are used as a business establishment or commercial property
- (j) Properties that are unable to provide receipts for the improvement measures
- (k) Projects with preliminaries conducted prior to September 1, 2011

Home Construction Standards if HVAC Equipment is installed....

If new HVAC equipment is installed as part of the improvements the home must also meet the following requirements:

- (a) The cooling components of any new air condition equipment must meet the minimum Energy Star® efficiency requirements in place at the time of the preliminary rating and new heating components must be of a higher efficiency than what is being replaced. (*This is a mandatory requirement. If the replaced cooling side equipment efficiency is less than the minimum Energy Star® efficiency requirements (SEER 14 as of 9/1/2011), or any replaced heating side equipment efficiency is equal to or less than the replaced heating side equipment efficiency the home does not qualify for a HERO rebate.*)

- (b) The home must incorporate improvements from the list below. Each improvement is assigned a number of points. The home must obtain at least 2 points to qualify for a rebate and at least 6 points to qualify for the maximum \$2,000 rebate (*detailed on pp. 19-21*).

- 1) *New Duct System (6 points)*
- 2) *Seal and Insulate Chase (3 points)*
- 3) *Insulate Knee Walls (6 points)*
- 4) *Seal and Insulate Fire Place Opening in attic (3 points)*
- 5) *Air Tight Recessed Lighting Fixtures (3 points)*
- 6) *Seal and Insulate Attic Access Door (3 points)*
- 7) *Increase Attic Insulation (2 points per every R-5 increase)*
- 8) *Increase Wall Insulation (2 points per every R-5 increase)*
- 9) *Increase Heating System Efficiency (4 points)*
- 10) *Increase Water Heater Efficiency (3 points)*
- 11) *Window Upgrade (2 points per every three windows)*
- 12) *Permanently Wired Lighting Fixtures Upgrade (2 points)*

Allocating money for homes participating in the HERO Program....

- Money for an existing home is allocated upon receipt of the Preliminary Rating (*see p. 17...it is the raters responsibility to submit the preliminary rating within 2 week of the date it is conducted*)
- This money is allocated to the rated property for 6 months
- After 6 months, if the final rating has not been completed and received by DNR ...this allocated money is returned to the general HERO Fund for reallocation and is no longer guaranteed
- In order for a home that has lost its allocation to finalize participation in the HERO Program...on or before 9 months from the date the preliminary rating was conducted, all documentation from both the preliminary and final ratings must have been submitted and received by DNR and have been cleared of all homeowner and rater processing errors. The home will then be placed on a waiting list for available funds. Every home that is still within its original 6 month allocation period that finalizes will have priority over the homes on the waiting list. Money frees up for homes on the waiting list when actively allocated homes do not finalize, or become disqualified. Freed up money will be applied toward the finalized homes on the waiting list in the order of first on the list first paid basis. All homes on the waiting list are subject to funding availability...homes on the waiting list are not guaranteed funding
- An energy rating has a shelf life of 9 months...after 9 months a preliminary rating, without a final, will be DELETED from the data base and will no longer be eligible for a rebate.
- Homes that fall into this category that still wish to participate must start the entire process from the beginning. This means that they would have to have another full preliminary rating done on the home at that point (*which would include any and all of the improvements added to the home since the original preliminary was conducted*). This preliminary rating would establish the benchmark of efficiency on the home from which the home would have to be improved on by 30% in order to qualify for a rebate and would be subject to all other program guidelines.

Project Completion....

All projects that receive HERO Program funding from the Louisiana Department of Natural Resources must be completed, including final rating and receipt of required documentation, on or before *six (6)* months from the date the preliminary rating was conducted. At this six month period the HERO Program will not, without exception, authorize any extensions to the Project Completion Date, terminates the Rebate Agreement, and de-obligates allocated funds. In such case, the *Participant* shall not be reimbursed for costs incurred at their risk.

Application Process....

In order for an existing home to participate in the HERO Program, the home must be evaluated and rated by an *Energy Rater* during the planning stages before improvement activities begin. The submittal of the rating by the Rater opens a HERO - Existing Homes program application for the project. The typical application process includes the following steps:

1. *Participant* contacts an *Energy Rater*. It is expected that the selected *Energy Rater* will perform ratings throughout the entire project. If the participant wishes to change raters after the beginning of the process, he/she *must* contact the HERO Program beforehand.
2. The *Energy Rater* will verify the availability of funds (*via secure internet site*).
3. The *Energy Rater* will perform a preliminary rating on the *Participant's* residence before any improvements are made to the home, and make recommendations for achieving the energy performance goals.
4. The *Participant* and the *Energy Rater* review the energy improvement options and agree on a target performance level and a pathway to compliance.
5. The *Energy Rater* submits the preliminary rating to the HERO Program. At that time, \$2,000 is immediately obligated to the project for 6 months and the *project* will automatically be assigned a customer order number (CO#) specific to that property and that property owner.
6. Once the *Participant's* preliminary energy rating has been submitted to the HERO Program by the *energy rater*, the participant can monitor the status of the process through the HERO system by going to: <http://www.sonris.com/> and Click "Data Access", then Click "Lite". The screen will then ask for your name and ID# and will then display information about your rating.
7. The *Participant* completes the improvements to the residence within 6 months and contacts the original *Energy Rater* to perform the final rating. For the project to receive a rebate, the final rating must verify the required energy performance level.
 - To calculate a qualifying 30% improvement in an existing home, multiply the preliminary rating score by 0.70, the result of the calculation will be the maximum qualifying score to participate. (*Example: If a Preliminary Rating Score is 170, the maximum qualifying Final Rating Score for that home is 119 (170 X 0.70 = 119) i.e. the rating must be 119 or lower-*)
 - The rebate is calculated by awarding 20% of the lesser of either the Cost of Energy Savings determined by the energy rating, or the Cost of Improvements, up to a maximum of \$2,000.
 - The final rating and *all* required documentation must be submitted *within the 6-month period*.
8. The rebate is issued to the *Participant* by the HERO Existing Homes program.
9. For projects not meeting the *6 month* requirement, see "Allocating money for homes participating in the HERO Program" (*p. 10...bullets 2-5*).

Required Documents....

The *Energy Rater* will be responsible for submittal of the required documents, but the *Participant* is responsible for the accuracy of all documents submitted to the HERO Program. Several of the documents require the participant's signature in addition to the other information. The list below summarizes the required documents:

Required Documents	With Preliminary Rating	With Final Rating	Participant Responsible for Information	Rater Responsible to Submit
HERO Cover Sheet	✓	✓	✓	✓
Form 1119	✓ unsigned	✓ signed	✓	✓
Economic Summary	✓	✓		✓
Energy Cost & Feature	✓	✓		✓
Quick Analysis	✓	✓		✓
Building Files	✓	✓		✓
Tax Letter	✓ signed		✓	✓
W9	✓ signed		✓	✓
Improvement Costs Receipts		✓	✓	✓
Certificate of Completion		✓ signed	✓	✓

Description of Required Documents....

- **HERO Cover Sheet**.....The HERO Cover Sheet summarizes the results of the rating
- **Form 1119**.....This form establishes the final rebate amount. The *Energy Rater* is responsible for the technical portions of the form. The final Form 1119 must be signed by the applicant prior to the final submission
- **Tax Letter**.....All cash rebate amounts are currently taxable. The Applicant's signature on this document demonstrates acknowledgement that the Applicant will receive a Form 1099 for the year the rebate is received and that the rated property could be randomly selected for a field verification of the improvements within 3 years of the final rating date
- **W-9**.....The HERO Program is required to file an information return (1099) with the IRS for all rebates. This form provides your taxpayer identification number (TIN) for that purpose
- ***REMRate BLG Files**.....These are input files for the software that performs the rating and energy use calculations for your project
- ***Economic Summary**.....Projected utility savings of the home over the useful life of the energy efficiency measures incorporated into the home
- ***Energy Cost and Features Report**...Utility use comparison between as-is and improved home improvements

- **Improvement Costs Receipts**.....A pristine copy of the receipts provided by the home owner to the rater at the final rating for all of the improvement work done on the home that will be used in the calculation to determine the rebate amount. All submitted receipts **MUST** be dated and clearly identifiable the both the rated property address and the homeowner
- **Certificate of Completion**.....A certificate signed by the homeowner and the highest costs contractor provided to the energy rater at the final rating

NOTE: (The Energy Rater **MUST use published **MANDATORY** utility rates for the location of the property in Louisiana in the REMRate building files when calculating the energy use characteristics of the As Is and Improved Existing Homes)*

Limits to HERO/HELP Participation....

- 1.) A homeowner can not participate in both the HELP Program and the HERO Program on the same property address. A participant can not have an active HELP loan (*one that has not yet been paid in full*) and an active HERO application active at the same time.
- 2.) Any HELP loan will count toward the maximum allowable number of times an individual can participate in both the HERO and HELP programs (*see p. 7*).
- 3.) A participant may have only one active HELP loan at a time. Once a HELP loan is paid in full, an individual may apply again for another HELP loan or participate in the HERO program, subject to all qualifications and guidelines associated with these programs.
- 4.) A specific property is allowed to go through the HELP and/or HERO program one time only. Specifically: A property that has gone through the HERO program can not be put through the HERO program again, nor can that property be put through the HELP program. Likewise, a property that goes through the HELP program can not be put through the HELP program again, nor can that property be put through the HERO program.
- 5.) At no time can funds from the HELP program be used to purchase energy efficiency items, or services for a property that is, or will participate in the HERO program.

Form W-9....

- A W9 must be submitted with the preliminary rating for all participating homeowners
- Address filled in on the W9 will be the address that the check will be mailed to, it does not have to be the rated property address
- If the check mailing address changes between the preliminary rating date and the final rating date, another complete W9 MUST be submitted with the final rating...no scratch outs, white outs, or write overs on the original W9 will be accepted by the state treasurers office...the homeowner will have to rewrite the entire W9

Form W-9
(Rev. November 1998)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give form to the requester. Do NOT send to the IRS.

Print (if single person) or type (if multiple persons) your name, as it appears on your current tax return. If you changed your name, see Specific Instructions on page 2.)
Jonathan Doe

Business name, if different from above. (See Specific Instructions on page 2.)

Check appropriate box:
☒ Individual/sole proprietor
☐ Partnership
☐ Corporation
☐ Other _____

Address (number, street, and apt. or suite no.):
**1234 Check Mailing Street, Suite 5
City, LA 77777**

Requester's name and address (optional): _____

List account number(s) here (optional): _____

Part I Taxpayer Identification Number (TIN)
Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). However, if you are a resident alien, sole proprietor, or other entity, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 2.
Note: If the account is in more than one name, use the chart on page 2 for guidelines on whose number to enter.

Social security number
1 2 3 4 5 6 7 8 9
OR
Employer identification number

Part II For Payees Exempt From Backup Withholding (See the instructions on page 2.)
☐

Part III Certification
Under penalties of perjury, I certify that:
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest and dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.
Certification instructions: You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest, gift, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign this Certification, but you must provide your correct TIN. (See the instructions on page 2.)

Sign Here: _____ Signature: **Jonathan Doe** Date: **1/17/2003**

Purpose of form. A person who is required to file an information return with the IRS must get your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA. Use Form W-9 if you are a U.S. person (including a resident alien), to give your correct TIN to the person requesting it (the requester) and, when applicable, to:
1. Certify the TIN you are giving is correct for you are waiting for a number to be issued.
2. Certify you are not subject to backup withholding; or
3. Claim exemption from backup withholding if you are an exempt payee. If you are a foreign person, IRS prefers you use a Form W-8 (Certificate of Foreign Status). After December 31, 2000, foreign persons must use an appropriate Form W-8.
Note: If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

What is backup withholding? Persons making certain payments to you must withhold and pay to the IRS 31% of such payments under certain conditions. This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.
If you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return, payments you receive will not be subject to backup withholding. Payments you receive will be subject to backup withholding if:
1. You do not furnish your TIN to the requester; or
2. You do not certify your TIN when required (see the Part III instructions on page 2 for details); or
3. The IRS tells the requester that you furnished an incorrect TIN; or
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return for reportable interest and dividends only; or
5. You do not certify to the requester that you are not subject to backup withholding under 3 above (for reportable interest and dividend accounts opened after 1983 only).
Certain payments and payments are exempt from backup withholding. See the Part III instructions and the separate instructions for the Requester of Form W-9.
Penalties.
Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.
Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.
Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties, including fines and/or imprisonment.
Misuse of TINs. If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

Cat. No. 10231A Form W-9 (Rev. 11-98)

Ph # (555) 555-5555 Caddo Parish

Name of the Person submitting the W-9
ONLY ONE PERSON'S NAME SHOULD BE HERE AS IT OFFICIALLY APPEARS IN CONNECTION WITH THE PROVIDED SSN—not Jonathan and Mary Doe

If for an individual leave this blank

Address where CHECK is to be sent

SSN MUST fill in HERE
Checks can only be paid to valid Louisiana SSN

Individual Signs it – Prints the name that is signed next to it – and dates it HERE

Although there is no space provided for it on the form – provide the phone # of the (individual / business) and (parish)
Being mailed to HERE

Additional Detailed Information on the submitted Form W-9....

- With a **preliminary rating**, the *Energy Rater* MUST submit a W-9 showing the expected mailing address that will be valid at the time of the final rating
- The *Energy Rater* MUST verify, with the home owner, at the time of the final rating, that the mailing address is still valid.

- If the mailing address is no longer valid at the time of the final - *the Energy Rater* MUST re-submit a NEW revised W-9 with the final rating.
- If the *Energy Rater* must re-submit a W-9 – the *Energy Rater* cannot modify the W-9 that was originally submitted. The *Energy Rater* MUST have a new W-9 filled out and signed by the homeowner. Any modification of a W-9 (*such as whiting out the address on the original W-9, filling out the new address and re-submitting*) is considered an act of fraud by state government, therefore DNR cannot accept a W-9 that has been altered or modified.
- At the time of the final rating, the homeowner should tell the *Energy Rater* if the check mailing address has changed since the time of the preliminary rating and if so fill out a revised W-9 at that time. The *Energy Rater* should have blank W-9's on hand. Resubmitting a W9 at the time of the final rating will prevent delays in processing the homeowners rebate by eliminating an additional trip to the home to get a revised form.

HERO Energy Rater Code of Ethics...

A copy of the “Rater Code of Ethics” must be signed and dated by every HERO Certified Home Energy Rater and kept on file at DNR:

HERO Certified Home Energy Rater Code of Ethics Statement

Honesty, justice and courtesy form a moral philosophy which, associated with mutual interest among people, constitutes the foundation of ethics. The rater should recognize such a standard, not in passive observance, but as a set of dynamic principals guiding their conduct. It is their duty to practice the profession according to this code of ethics.

As the keystone of professional conduct is integrity, the raters will discharge their duties with fidelity to the public, their clients, and with fairness and impartiality to all. They should uphold the honor and dignity of the profession and avoid association with any enterprise of questionable character, or apparent conflict of interest.

1. The rater will make statements only when they are based upon facts supported by the rating or by research done by an industry-recognized professional source. The rater will not recommend fuel switching. However, if asked by the client to calculate “what if” scenarios with different fuel types, the rater shall comply with the client’s request.
2. The rater will always act in good faith toward each client. The rater will not perform improvement work on a home the rater rates. Nor shall the rater rate a home on which the rater has done the improvement work.
3. The rater will not disclose any information concerning the results of the rating to any third party, outside ERHL, without the written approval of the clients or their representative.
4. The rater will not accept compensation, financial or otherwise, from more than one interested party for the same service.
5. The rater will not accept nor offer commissions, payment, or allowances directly from or to other parties dealing with their client in connection with work for which the rater is responsible.
6. The rater will promptly disclose to his client any interest in a business which may affect the client. The rater will not allow an interest in any business to affect the quality or results of the rating which they may be called upon to perform. The rating may not be used by the rater to deliberately obtain profit from the work recommended to the client, or obtain additional work in another field.
7. A rater shall make every effort to uphold, maintain and improve the professional integrity, reputation and practice of Energy Rated Homes of Louisiana and its certified raters. The rater will report all such relevant

information, including violations of this Code by other members, to Energy Rated Homes of Louisiana for possible remedial action.

I, _____, have read this “Energy Rater Code of
(Print Energy Raters Name)

Ethics” and understand that any violation of this Code could result in possible civil proceedings, up to and including full reimbursement of any or all awarded rebates.

_____,
(Energy Raters Signature)

_____,
(Date)

Audits of Raters

On an ongoing basis, DNR conducts audits of homes that have gone through the HERO Program to assess the quality of work performed by the energy rater as well as to verify the accuracy of the submitted ratings:

- DNR reviews the electronic building files and associated required documentation on every preliminary and final rating submitted
- The rater’s Rating Provider conducts blower door testing on randomly selected homes as part of their yearly quality assurance requirements
- Every *Energy Rater* that has conducted at least one rating in the previous calendar year will have that one home field audited by DNR. *Energy Raters* conducting more than 1 rating in the previous calendar year will have a predetermined percentage of their homes field audited as per the chart below:

# of finals by the rater	# of audits by DNR	% audited
1	1	100%
15	2	13.3%
30	3	10%
45	4	8.8%
60	5	8.3%
75	6	8%
90	7	7.7%
120	8	6.6%
150	9	6%
180	10	5.5%
220	11	5%
260	12	4.6%
300	13	4.3%
350	14	4%

400	15	3.75%
450	16	3.5%
500	17	3.4%

- If our findings are more than 10% off from your submitted rating documentation, you will be asked to justify the discrepancy
- If there are blatant errors, such as showing Low-E Argon Windows with less efficient windows installed, or higher SEER ratings than what is actually installed – possible disciplinary actions will be taken toward the *Energy Rater* (see *Rater Ethics pp. 15-16*)

When MUST the Rating be performed on an EXISTING HOME?....

Preliminary Rating

MUST be performed prior to any improvements being made to the home

- If the preliminary rating is conducted after the improvements have been made to the home...the home can not participate in the HERO Program
- Money for the existing home is allocated upon receipt of the Preliminary Rating

Final Rating

MUST be performed as soon as possible after the improvements have been made to the home, but no more than 6 months after the improvements have been made to the home

- If the final rating is conducted more than 6 months after the improvements have been made to the home...the home will no longer be guaranteed a rebate under the HERO Program

When MUST the Preliminary Rating be turned in on an EXISTING HOME?....

- Within two weeks of completion
- A preliminary rating MUST already be on file with DNR before a final for that property can be submitted
- It is a good idea for the *homeowner* to check the web site within 2 weeks of the *Energy Rater* submitting preliminary rating to be assured that DNR has received and posted the rating information
- If a rating does not show up in the DNR data base contact the *Energy Rater* to be sure the *Energy Rater* has submitted the rating before contacting DNR

When MUST the Final Rating be turned in on an EXISTING HOME?....

- Within two weeks of completion
- A final rating MUST contain its assigned CO# within all of the associated documentation when it is submitted to DNR
- It is a good idea to check the web site after 2 weeks of submitting a final rating to be assured that DNR has received and posted the rating information
- If a rating does not show up in the DNR data base contact the *Energy Rater* to be sure the *Energy Rater* has submitted the rating before contacting DNR

What MUST the Customer receive from the Rater to make up a MINIMUM PRELIMINARY RATING on an EXISTING HOME?....

Preliminary Rating - (*upon preliminary visit, or within 4 weeks of the preliminary visit*)

- Signed, addressed, and dated copy of the Tax Letter (*on the preliminary visit*)
- Whole House Blower Door Test Results w/Duct Blaster Duct Leakage Test Results of the as is pre-improved home (*testing on the preliminary visit... results provided within 4 weeks after the preliminary*)
- List of recommendations for improvement (*within 4 weeks after the preliminary*)
- Preliminary Form 1119 showing the as is home compared to the recommended improved home (*unsigned copy within 4 weeks after the preliminary*)

What MUST the Customer receive from the Rater to make up a MINIMUM FINAL RATING on an EXISTING HOME?....

Final Rating - (*upon final visit, or within 4 weeks after the final visit*)

- Final Form 1119 of the preliminary as was home compared to the completed improved home (*signed copy within 4 weeks after the final*)
- Two Building Economic Summary (*within 4 weeks after the final*)
- Two Building Energy Cost and Feature Report (*within 4 weeks after the final*)

- Whole House Blower Door Test Results w/Duct Blaster Duct Leakage Test Results of the improved home (*within 4 weeks after the final*)

What is the acceptable energy use software under the HERO Program?....

Only REM/Rate version 12.0 and above is accepted for use under the HERO Program

- The HERO Program always shifts to the latest version of REM/Rate to assess energy use

Version 9.0 to 11.43
HERS Score = 0 to 100 point
Range
Code Reference = 95 MEC
Reference Home = 80 point
Higher Score = More Efficient

Version 12.0 and above
HERS Index = 0 to 500 point
Range
Code Reference = 2004 IECC
Reference Home = 100 point
Lower Score = More Efficient



Mandatory Requirements (Detail)...

A detailed PRESCRIPTIVE List of Upgrade Points associated to each Upgrade Item follows this description. All *Energy Raters* MUST inspect for these Upgrade Items on all Existing Home Finals regardless if they have changed out an HVAC System or not...

The home MUST achieve at least 2 Upgrade Points, from the list of 12 Upgrade Items in order to qualify for even a partial rebate regardless if the property has changed out an HVAC System or not. A two (2) point upgrade will result in a .50 X multiplier of the "Qualifying Rebate". Achieving 6 Upgrade Points from the list of 12 Upgrade Items will result in a total score of 6 on the MR Block of the HERO Cover Sheet and = a 1 X multiplier to apply toward the rebate. Refer to image below for details on how to document the Upgrade Points Requirement

MR Block Example:

Final Rating Information		Mandatory Requirements	
1.	Final Rating Date	1.	Blower Door Test
2.	Final Rating Score (As Bldg)	2.	Attic Access Treatment
3.	Final Rating Score (Improved)	3.	Weatherstripping Doors
4.	Improvements Qualifying for a Rebate	4.	Weatherstripping Windows
5.	Improvement Energy Efficiency Program	5.	Low Voltage Lighting
6.	Actual Cost of Improvements	6.	Low Voltage Lighting
7.	Lowest of Line B or Line C	7.	Low Voltage Lighting
8.	Lowest of Line B or Line C	8.	Low Voltage Lighting
9.	Final Rating Score (Improved)	9.	Low Voltage Lighting
10.	Adjustment from MR Block	10.	Low Voltage Lighting
11.	ADJUSTED HERO RATING = (Line 9) - (Line 10)	11.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		12.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		13.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		14.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		15.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		16.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		17.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		18.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		19.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		20.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		21.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		22.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		23.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		24.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		25.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		26.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		27.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		28.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		29.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		30.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		31.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		32.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		33.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		34.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		35.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		36.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		37.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		38.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		39.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		40.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		41.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		42.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		43.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		44.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		45.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		46.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		47.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		48.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		49.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		50.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		51.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		52.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		53.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		54.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		55.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		56.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		57.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		58.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		59.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		60.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		61.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		62.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		63.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		64.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		65.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		66.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		67.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		68.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		69.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		70.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		71.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		72.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		73.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		74.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		75.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		76.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		77.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		78.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		79.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		80.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		81.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		82.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		83.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		84.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		85.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		86.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		87.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		88.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		89.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		90.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		91.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		92.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		93.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		94.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		95.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		96.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		97.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		98.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		99.	Low Voltage Lighting
ADJUSTED HERO RATING = 0.625		100.	Low Voltage Lighting

Properly Installed Attic Access Treatment = 3 points

TOTAL of ALL Earned points = 3

The Upgrade Item Points requirement is MANDATORY and is in addition to an Existing Home meeting the minimum 30% increase in efficiency required by the program. If the HVAC is

upgraded as part of the HERO Program, the upgraded HVAC system must be a minimum SEER 14.

Two (2) Upgrade Points are mandatory to participate and 6 Upgrade Points are needed in order to qualify for the Maximum Qualifying Rebate amount which is \$2,000.

Upgrade Item 1 (Duct Requirement)...The home owner will receive 6 Upgrade Points for changing out the duct system. If the mechanical system ducts are rigid ducts – inspect for mastic sealing. If the mechanical system ducts are flexible ducts – also inspect that they are rigidly secured with straight runs, with no more than a 45 degree bend, except at registers. Completely MEET or receive no Upgrade Points in this category.

Upgrade Item 2 (Chase Requirement)...The home owner will receive 3 Upgrade Points for sealing and insulating an existing chase. If the mechanical system has a chase - inspect that the chase has been dry walled, floated, and if located on an exterior wall – insulated. If the home has no chase, or if the existing chase was already sealed OR insulated prior to the preliminary rating, the homeowner CAN NOT receive any Upgrade Points under this category.

Upgrade Item 3 (Knee Wall Requirement)...The home owner will receive 6 Upgrade Points for insulating all existing knee walls. If the home has any knee wall construction that uses a dry blown insulation material – inspect that some type of retaining sheathing to hold it in place has been installed. If the home has no knee walls, or if the existing knee walls already meet this requirement, the homeowner can not receive Upgrade Points in this category. Completely MEET on all existing knee walls or receive no Upgrade Points in this category.

Upgrade Item 4 (Chimney Requirement)...The home owner will receive 3 Upgrade Points for properly sealing and insulating the chimney opening in the attic. If incorporating this measure be certain that the proper clearance is maintained between any hot surfaces and installed flammable materials. If the existing home's fireplace opening already meets this requirement, or if the chimney is located outside of the envelope, the homeowner can not receive any Upgrade Points in this category.

Upgrade Item 5 (Recessed Light Requirement)...The home owner will receive 3 Upgrade Points for making all of the existing recessed lights air tight. If the existing home has no recessed lights, the homeowner can not receive Upgrade Points in this category. Completely MEET on all existing recessed lights or receive no Upgrade Points.

Upgrade Item 6 (Attic Access Requirement)...The home owner will receive 3 Upgrade Points for sealing and insulating the attic access door. Installing an “Attic Tent” or “Air Lock” will meet this requirement...simply applying foam backed tape with a piece of insulation laid over the back of the door to the opening will not meet this requirement. If the existing home's attic access already meets this requirement, or if the attic access is located outside of the envelope, the homeowner can not receive Upgrade Points in this category.

Upgrade Items 7 & 8 (Insulation Requirement)...The home owner will receive 2 Upgrade Points for every R5 increase in the attic insulation up to a maximum of R38 in the attic, AND/OR will receive 2 Upgrade Points for every R5 increase in the wall insulation up to a maximum of R19 in the walls. If the existing home already has an R-38 in the attic, or an R19 in the walls, the homeowner can receive no Upgrade Points in this category.

Upgrade Item 9 (Space Heating Requirement)...The home owner will receive 4 Upgrade Points for upgrading the efficiency of the heating system, or by replacing a conventional HVAC with a 14 SEER Heat Pump. If the replaced heating equipment is not part of a Heat Pump, the new heating components must be of a higher efficiency than what is being replaced. Replacing an electric strip heating system with any other electric strip heater will not qualify for any points in this category unless it is part of a heat pump system. Replacing an existing gas heating system without a gas efficiency increase will also not entitle the homeowner to receive any Upgrade Point in this category.

Upgrade Item 10 (Water Heating Requirement)...The home owner will receive 3 Upgrade Points for upgrading the efficiency of the water heater. The new water heating equipment must be of a higher efficiency than what is being replaced. Replacing an electric tank water heater with any other electric tank water heater will not qualify for any points in this category. Replacing an existing electric tank water heater with either a gas tank-less or an electric tank-less water heater will however qualify the home for the 3 points. Replacing a gas water heater with out a gas efficiency increase will not entitle the homeowner to receive any Upgrade Points in this category.

Upgrade Item 11 (Window Requirement)...The home owner will receive 2 Upgrade Points for every 3 windows that are upgraded in efficiency. If the replacement windows do not carry an efficiency increase, the home owner will receive no Upgrade Points in this category. Credit is only given for 3 window combination upgrades (*ie...3 windows = 2 Upgrade Points, 6 windows = 4 Upgrade Points, 9 windows = 6 Upgrade Points, 12 windows = 8 Upgrade Points, etc.*)

Upgrade Item 12 (Upgrade Package Requirement)...T he home owner will receive 2 Upgrade Points for installing a programmable thermostat, and adding an R8 insulation blanket to their water heater, and replacing at least 2 permanent lighting fixtures with permanently wired fluorescent fixtures controlled by occupancy sensors (*CFL's Do not meet this criteria*). This Upgrade Item is only good for 2 points per rated address. If any portion of this upgrade is pre-existing the home owner can not claim any of the Update Points for this item. If the homeowner can not get at least 2 points from some other upgrade area the home will not be qualified for a rebate under the program.

Disclaimer for Participants....

Important information for participants in the HERO Program

The rules, guidelines, and procedures for the HERO Program are subject to change without notice. The guarantee that your home will be processed under the program only occurs once the Louisiana Department of Natural Resources receives a preliminary rating for your home, as submitted by a home energy rater that is listed on our website at the time of your preliminary. Your rebate will be based upon the guidelines that are in place at the time that the Louisiana Department of Natural Resources receives your preliminary rating.

Individuals provided on the list of “Certified Home Energy Raters” are the only Home Energy Raters currently certified to submit associated documentation to the Louisiana Department of Natural Resources in connection with the HERO Program. These individuals are private sector

businesses, and are in no way affiliated with either the state of Louisiana or the Louisiana Department of Natural Resources. Neither the state of Louisiana nor the Louisiana Department of Natural Resources accept responsibility for any contractual agreement entered into between a home owner, home builder, or home buyer, and the individuals on the list. Neither the state of Louisiana nor the Louisiana Department of Natural Resources assumes any responsibility for any failure on the part of individuals on the list to perform their prescribed duties under the HERO Program. It is the responsibility of the individual home owner, or home buyer to insure that the individuals on the list have submitted the appropriate documentation to the Louisiana Department of Natural Resources in a timely manner. In order to meet the requirements of the HERO Program, and qualify the appropriate funds for the rated home, preliminary ratings must be submitted to DNR by the energy rater within three weeks of the rating date. Three weeks after the energy rater has conducted your preliminary rating, you can go to the following site:

<http://www.sonris.com/> Click “Data Access” then Click “Lite

At the above site you can see if, and when the energy rater submitted your preliminary rating to the Louisiana Department of Natural Resources. The Louisiana Department of Natural Resources verifies the documentation submitted only by individuals on this list, assesses the appropriate rebate award associated with these submittals, and awards the cash rebate directly to the qualifying participants. Individuals whose business practices are deemed inappropriate are removed from this list. DNR strongly advises contacting more than one energy rater from the list of “Certified Home Energy Raters” before deciding on one to perform your energy rating.

All individuals that are certified to work within the HERO Program must carry and present a valid and current Rater ID Badge to home owners and home buyers while performing HERO related work on any residence. HERO related work refers to consultation, software entry, and mechanical testing of the home. DNR strongly recommends that you check the credentials of anyone representing themselves as a HERO certified home energy rater against the list of raters listed on this site at the time of your rating. If you become aware of anyone presenting themselves as a HERO certified home energy rater without the proper credentials, please contact the Louisiana Department of Natural Resources so that we may take the appropriate actions. The Louisiana Department of Natural Resources does not set the fee for a home energy rating.

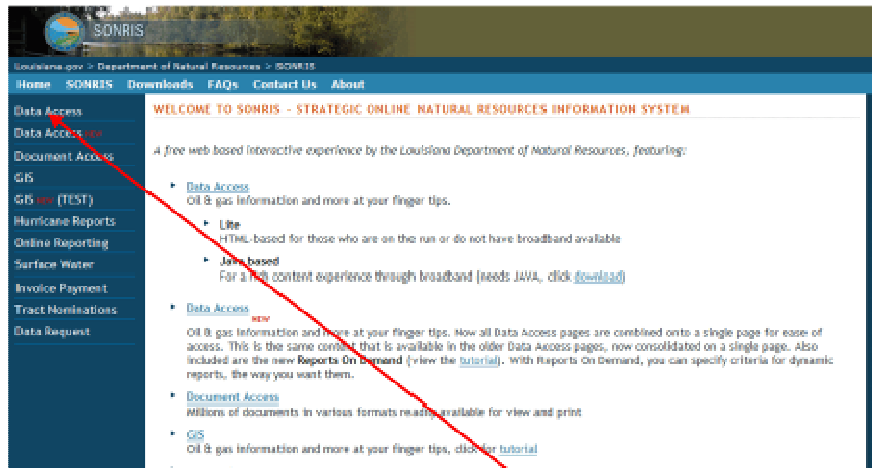
Checking the Status of a Homeowners Rating....

To check the status of a previously submitted preliminary rating for a property...

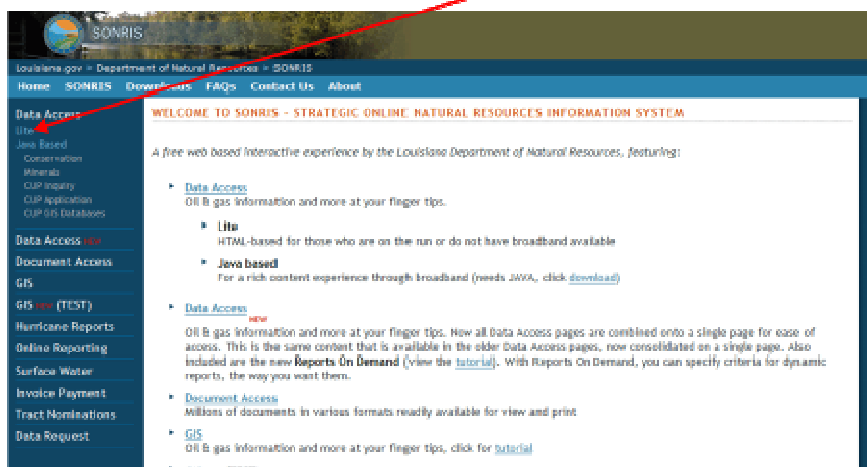
1st ...Go To: dnr.louisiana.gov and Click on the “SONRIS” button on the Home Page



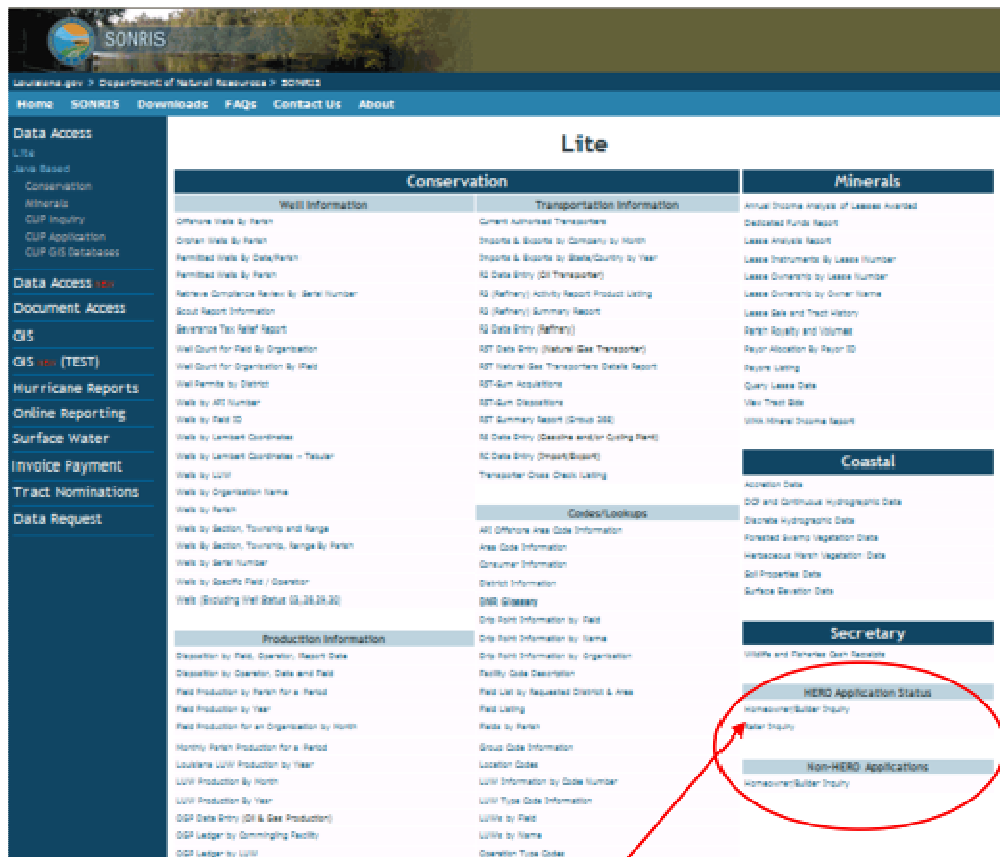
2nd ... Click on the “Data Access” link & then Click “Lite”



Click on “Data Access”
&
then Click “Lite”

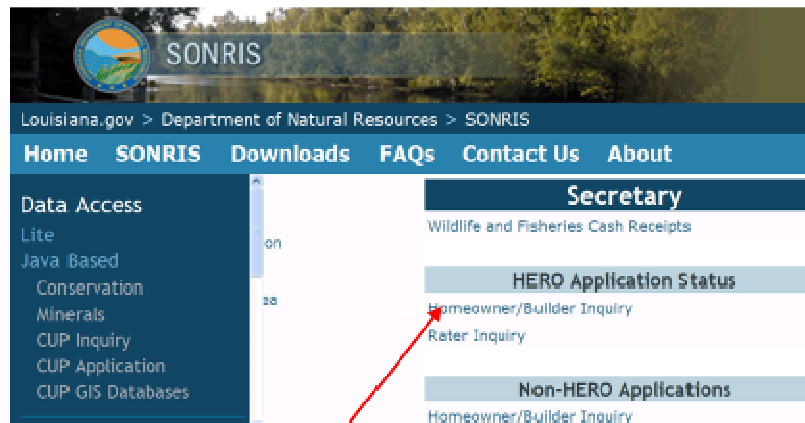


3rd ... After pressing “Lite” the below screen will be display



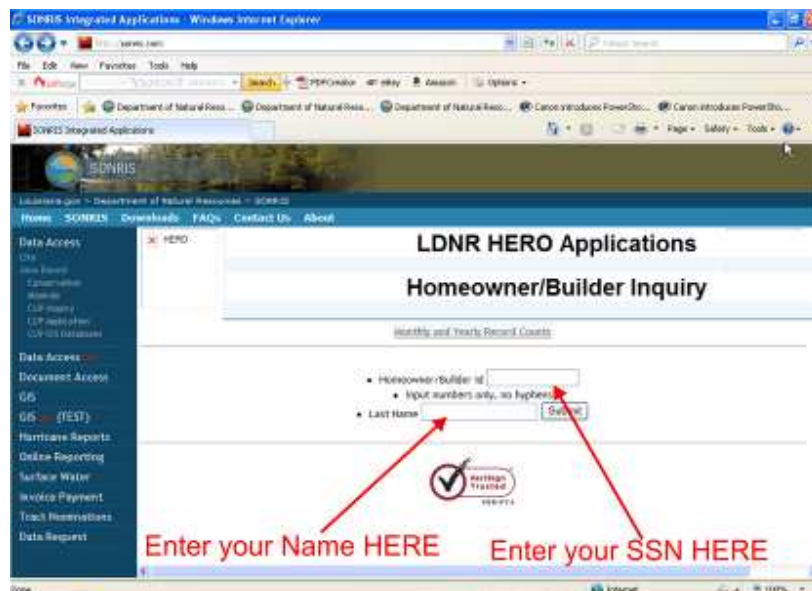
“HERO Program Application Status” Menus for Raters & Homeowners

4th ... Under “HERO Application Status” the homeowner can check the STATUS of their rating by Clicking “Homeowner/Builder Inquiry...(see image below)



When the Homeowner Clicks
"Homeowner Inquiry" he/she will
enter their SSN and last name,
then have access to their received
ratings listed out in a spreadsheet format

5th ... The homeowner Enter their SSN, placing dashes in the correct format as displayed on the screen and will gain access to the Data Base (*Homeowners must enter their last name along with their SSN in order to inquire under Homeowner/Builder Inquiry*)



6th ... The homeowner's received ratings will be displayed in the below format

NOTE: If a rating does not show up on the list it means that DNR has not received it and the homeowner should contact their *Energy Rater* as soon as possible to determine the problem

The screenshot shows a web browser window displaying a table of homeowner data. Red arrows point from various labels to specific columns in the table. The labels and their corresponding columns are:

- Customers Name** points to the first column.
- CO#** points to the second column.
- Rated Property Address** points to the third column.
- Rated Property City** points to the fourth column.
- STATUS** points to the fifth column.
- Final Received by DNR** points to the sixth column.
- Prelim. Received by DNR** points to the seventh column.
- Final Reviewed by DNR** points to the eighth column.
- Final Conducted** points to the ninth column.
- Preliminary Conducted** points to the tenth column.
- Check Requested** points to the eleventh column.
- Awarded Check Date** points to the twelfth column.
- Customer Check Amount** points to the thirteenth column.
- Check #** points to the fourteenth column.
- Rater Check Amount n/a** points to the fifteenth column.

Below the table, a large red arrow points to the text:

DATA SCREENED Out in this Example